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<b>UTILITY</b> <b>PATENT APPLICATION</b> <b>TRANSMITTAL</b> <i>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</i>	Attorney Docket No.	064951/0180 (SP02-026)	Total Pages	2
	First Named Inventor or Application Identifier			
	Title: Creating Refractive Index Changes in Glass by Up-Conversion of Rare Earth IONS			
	Express Mail Label No.	ELUS 689109538		

**CERTIFICATE OF EXPRESS MAIL UNDER 37 CFR 1.10:**  
 I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is Addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231

on Feb. 7, 2002  
 (Date)

Signature Mary Y. Redman

"EXPRESS MAIL" Mailing Label No. ELUS 689109538 US  
map. 2-7-02

**ADDRESS TO:** Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

11017 U.S. PTO  
 10/071309  
 02/07/02

1. ☐ \* Fee Transmittal Form  
 (Submit an original and a duplicate for fee processing)

2. ☒ Specification [Total Pages 17]  
 (preferred arrangement set forth below)  
 - Descriptive title of the Invention  
 - Cross References to Related Applications  
 - Statement Regarding Fed sponsored R&D  
 - Reference to Microfiche Appendix  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure

☒ Drawing(s) (35 U.S.C. § 113) [Total Sheets 9]

4. Oath or Declaration [Total Pages 3]  
 a. ☐ Executed (original or copy)  
 b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
 (for continuation/divisional with Box 16 completed)  
 i. ☐ **DELETION OF INVENTOR(S)**  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence Submission  
 (if applicable, all necessary)  
 a. ☐ Computer Readable Copy  
 b. ☐ Paper Copy (identical to computer copy)  
 c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☒ Assignment Papers (cover sheet & document(s))

8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney  
 (when there is an assignee)

9. ☐ English Translation Document (if applicable)

10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

11. ☐ Preliminary Amendment

12. ☐ Return Receipt Postcard (MPEP 503)  
 (should be specifically itemized)

14. ☐ Certified Copy of Priority Document(s)  
 (if foreign priority is claimed)

15. ☐ Other:

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:  
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.  
 Prior application information: Examiner: «EXAMINER» Group / Art Unit:  
**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label or ☐ Correspondence address below

NAME	Foley & Lardner				
ADDRESS	Washington Harbour, 3000 K Street, N.W., Suite 500, Washington D.C. 20007-5109				
CITY	Corning	STATE	NY	ZIP CODE	14831
COUNTRY	USA	TELEPHONE	(202)672-5300	FAX	(202)672-5399
Name (Print/Type)	Mary Y. Redman			Registration No. (Attorney/Agent)	29,881
Signature	<u>Mary Y. Redman</u>			Date	<u>Feb 7, 2002</u>

# FEE TRANSMITTAL for FY 2001

Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Bryce Samson
Examiner Name	To Be Assigned
Group / Art Unit	To Be Assigned
Attorney Docket Number	064951/0180 (SP02-026)

**TOTAL AMOUNT OF PAYMENT (\$974.00)**

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

03-3325

Deposit  
Account  
Name

Corning Incorporated

- ☒ Charge Any Additional Fees Required  
Under 37 C.F.R. §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
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101	740	Utility filing fee	740.00
106	330	Design filing fee	
107	510	Plant filing fee	
108	740	Reissue filing fee	
114	160	Provisional filing fee	

**SUBTOTAL (1) (\$740.00)**

### 2. EXTRA CLAIM FEES

	Extra Claims	Fee below	Fee Paid
Total Claims	33 - 20** = 13	x 18 =	234.00
Independent Claims	3 - 3** = 0	x 84 =	00.00
Multiple Dependent	0	=	0 00

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Fee (\$)	Fee Description
103	18	Claims in excess of 20
102	84	Independent claims in excess of 3
104	280	Multiple dependent claim, if not paid
109	84	** Reissue independent claims over original patent
110	18	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$234.00)**

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
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105	130	Surcharge - late filing fee or oath	
127	50	Surcharge - late provisional filing fee or cover sheet	
139	130	Non-English specification	
147	2,520	For filing a request for reexamination	
112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840	Requesting publication of SIR after Examiner action	
115	110	Extension for reply within first month	
116	390	Extension for reply within second month	
117	890	Extension for reply within third month	
118	1,390	Extension for reply within fourth month	
128	1,890	Extension for reply within fifth month	
119	310	Notice of Appeal	
120	310	Filing a brief in support of an appeal	
121	270	Request for oral hearing	
138	1,510	Petition to institute a public use proceeding	
140	110	Petition to revive - unavoidable	
141	1,240	Petition to revive - unintentional	
142	1,240	Utility issue fee (or reissue)	
143	440	Design issue fee	
144	600	Plant issue fee	
122	130	Petitions to the Commissioner	
123	50	Petitions related to provisional applications	
126	240	Submission of Information Disclosure Stmt	
581	40	Recording each patent assignment per property (times number of properties) _____ x	
146	710	Filing a submission after final rejection (37 C.F.R. § 1.129(a))	
149	710	For each additional invention to be examined (37 C.F.R. § 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$)**

## SUBMITTED BY

Name (Print/Type) Mary Y. Redman

Signature

*Mary Y. Redman*

Registration No. (Attorney/Agent)

29,881

Date

Feb 7, 2002